

Exhibit 300: Capital Asset Plan and Business Case Summary

Part I: Summary Information And Justification (All Capital Assets)

Section A: Overview

1. **Date of Submission:** 2011-02-28
2. **Agency:** 009
3. **Bureau:** 90
4. **Name of this Investment:** OS ONC CONNECT Gateway
5. **Unique Project (Investment) Identifier (UPI):** 009-90-03-00-01-0004-24
6. **What kind of investment will this be in FY 2012?:** Mixed Life Cycle
 - Planning
 - Full Acquisition
 - Operations and Maintenance
 - Mixed Life Cycle
 - Multi-Agency Collaboration
7. **What was the first budget year this investment was submitted to OMB?** FY2010
8.
 - a. **Provide a brief summary of the investment and justification, including a brief description of how this closes in part or in whole an identified agency performance gap, specific accomplishments expected by the budget year and the related benefit to the mission, and the primary beneficiary(ies) of the investment.**

National Health Information Network (NwHIN) Exchange is the critical portion of the National health IT agenda intended to facilitate development of a secure, nationwide, interoperable health information infrastructure that will connect providers, consumers, and others involved in supporting health and healthcare. investment will enable health information to follow the consumer, be available for clinical decision making, and support appropriate use of healthcare information beyond direct patient care so as to improve health outcomes. The investment seeks to achieve these goals by coordinating stakeholders in developing interoperable standards and by engaging industry in developing prototypes and trials. EO 13410 requires federal agencies to adopt health IT standards that have been recognized by the HHS Secretary when developing or enhancing health information systems. CONNECT Gateway is an open-source software product that implements the service and content specifications of NwHIN Exchange. This product acts as web-services "gateway", connecting an organization's health information systems, such as EHRs, and allowing exchange of information across the gateway via NwHIN-specific web-services and protocols. Gateway allows an organization to easily adapt their systems to exchange in an NwHIN-compliant manner, without having to modify each of the systems behind the gateway. Gateway provides a cost-effective mechanism for users implement many of the standards defined in HITSP Interoperability Specifications. In March 2010, CONNECT Gateway Solution v. 2.4 was released to the public as an open source solution. FDA is making this software available to foster public and private organization adoption of interoperability standards for health information technology systems communicating using NwHIN Exchange. Private and public sector organizations can download CONNECT and use it for their connectivity needs. As with other open source solutions, organizations are encouraged to modify and expand the capabilities of the software. Although the download is free, an organization opting to use the solution will be responsible for costs associated with its implementation and maintenance within its own environment. In 2012 CONNECT Gateway will continue to expand its open source contributions and acceptance.
 - b. **Provide any links to relevant websites that would be useful to gain additional information on the investment including links to GAO and IG reports.**

Title	Link
NONE	

9.

- a. **Provide the date of the Agency's Executive/Investment Committee approval of this investment.**
2010-08-18
- b. **Provide the date of the most recent or planned approved project charter.** 2007-06-22

10. **Contact information?**

- a. **Program/Project Manager Name:** *
Phone Number: *
Email: *
- b. **Business Function Owner Name (i.e. Executive Agent or Investment Owner):** Blumenthal, David
Phone Number: *
Email: *

11. What project management qualifications does the Project Manager have? (choose only one per FAC-P/PM or DAWIA): Project manager qualifications according to FAC-P/PM or DAWIA criteria is under review for this investment.

- Project manager has been validated according to FAC-P/PM or DAWIA criteria as qualified for this investment.
- Project manager qualifications according to FAC-P/PM or DAWIA criteria is under review for this investment.
- Project manager assigned to investment, but does not meet requirements according to FAC-P/PM or DAWIA criteria.
- Project manager assigned but qualification status review has not yet started.
- No project manager has yet been assigned to this investment.

Section B: Summary of Funding (Budget Authority for Capital Assets)

1.

Table I.B.1: Summary of Funding
(In millions of dollars)

(Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)

	PY-1 and earlier	PY 2010	CY 2011 (CY Continuing Resolution)	BY 2012	BY+1 2013	BY+2 2014	BY+3 2015	BY+4 and beyond	Total
Planning:	*	*	*	*	*	*	*	*	*
Acquisition:	*	*	*	*	*	*	*	*	*
Planning & Acquisition Government FTE Costs	*	*	*	*	*	*	*	*	*
Subtotal Planning & Acquisition(DME):	*	*	*	*	*	*	*	*	*
Operations & Maintenance:	*	*	*	*	*	*	*	*	*
Disposition Costs (optional):	*	*	*	*	*	*	*	*	*
Operations, Maintenance, Disposition Government FTE Costs	*	*	*	*	*	*	*	*	*
Subtotal O&M and Disposition Costs (SS):	*	*	*	*	*	*	*	*	*
TOTAL FTE Costs	*	*	*	*	*	*	*	*	*
TOTAL (not including FTE costs):	*	*	*	*	*	*	*	*	*
TOTAL (including FTE costs):	*	*	*	*	*	*	*	*	*
Number of FTE represented by	*	*	*	*	*	*	*	*	*

Table I.B.1: Summary of Funding
(In millions of dollars)

(Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)

	PY-1 and earlier	PY 2010	CY 2011 (CY Continuing Resolution)	BY 2012	BY+1 2013	BY+2 2014	BY+3 2015	BY+4 and beyond	Total
Costs:									

2. Insert the number of years covered in the column “PY-1 and earlier”: 1

3. Insert the number of years covered in the column “BY+4 and beyond”: *

4. If the summary of funding has changed from the FY 2011 President’s Budget request, briefly explain those changes:

*

Section C: Acquisition/Contract Strategy (All Capital Assets)

1.

Table I.C.1 Contracts Table

Contract Status	Contracting Agency ID	Procurement Instrument Identifier (PIID)	Indefinite Delivery Vehicle (IDV) Reference ID	Solicitation ID	Alternative financing	EVM Required	Ultimate Contract Value (M)	Type of Contract/Task Order (Pricing)	Is the contract a Performance Based Service Acquisition (PBSA)?	Effective date	Actual or expected End Date of Contract/Task Order	Extent Competed	Short description of acquisition
Awarded		GS35F0283J			*	*	\$12.7	Time and Materials	Y	2008-03-19	2010-09-15	Follow On to Completed Action	ADP Software
Awarded		GS-35F-5900H			*	*	\$30.5	Time and Materials	Y	2010-09-24	2015-09-23	Full and Open Competition	ADP Software

2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why:

*

3.

- a. Has an Acquisition Plan been developed? If yes, please answer the questions that follow *
- b. Does the Acquisition Plan reflect the requirements of FAR Subpart 7.1 *
- c. Was the Acquisition Plan approved in accordance with agency requirements *
- d. If "yes," enter the date of approval? *
- e. Is the acquisition plan consistent with your agency Strategic Sustainability Performance Plan? *
- f. Does the acquisition plan meet the requirements of EOs 13423 and 13514? *
- g. If an Acquisition Plan has not been developed, provide a brief explanation.

*

Part II: IT Capital Investments

Section A: General

1.
 - a. **Confirm that the IT Program/Project manager has the following competencies: configuration management, data management, information management, information resources strategy and planning, information systems/network security, IT architecture, IT performance assessment, infrastructure design, systems integration, systems life cycle, technology awareness, and capital planning and investment control.** yes
 - b. **If not, confirm that the PM has a development plan to achieve competencies either by direct experience or education.**
2. **Describe the progress of evaluating cloud computing alternatives for service delivery to support this investment.** connect gateway is developing an interoperability environment which will allow it to interface with the cloud computing solution.
3. **Provide the date of the most recent or planned Quality Assurance Plan** 2011-01-10
4.
 - a. **Provide the UPI of all other investments that have a significant dependency on the successful implementation of this investment.**
 - b. **If this investment is significantly dependent on the successful implementation of another investment(s), please provide the UPI(s).**
5. **An Alternatives Analysis must be conducted for all Major Investments with Planning and Acquisition (DME) activities and evaluate the costs and benefits of at least three alternatives and the status quo. The details of the analysis must be available to OMB upon request. Provide the date of the most recent or planned alternatives analysis for this investment.** 2009-04-28
6. **Risks must be actively managed throughout the lifecycle of the investment. The Risk Management Plan and risk register must be available to OMB upon request. Provide the date that the risk register was last updated.** 2010-11-24

Section B: Cost and Schedule Performance

Table II.B.1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline:

Description of Activity	DME or SS	Agency EA Transition Plan Milestone Identifier	Planned Cost (\$M)	Actual Cost (\$M)	Planned Start Date	Actual Start Date	Planned Completion Date	Actual Completion Date	Planned Percent Complete	Actual Percent Complete
FY2009 Solution Development	DME	*	\$3.4	\$3.5	2008-10-01	2008-10-01	2009-09-30	2009-09-30	100.00%	100.00%
FY2009 Technical Management	DME	*	\$0.9	\$0.9	2008-10-01	2008-10-01	2009-09-30	2009-09-30	100.00%	100.00%
FY2009 Conferences/Outreach	DME	*	\$0.7	\$0.8	2008-10-01	2008-10-01	2009-09-30	2009-09-30	100.00%	100.00%
FY2009 Open Community Source	DME	*	\$0.2	\$0.3	2008-10-01	2008-10-01	2009-09-30	2009-09-30	100.00%	100.00%
FY2009 Operations & Maintenance	SS	*	\$1.4	\$1.4	2008-10-01	2008-10-01	2009-09-30	2009-09-30	100.00%	100.00%
FY2010 Solution Development	DME	*	\$4.9	\$4.9	2009-10-01	2009-10-01	2010-09-23		95.00%	96.00%
FY2010 Technical Management	DME	*	\$1.0	\$0.7	2009-10-01	2009-10-01	2010-09-30		62.00%	65.00%
FY2010 Open Community Source	DME	*	\$0.7	\$0.4	2009-10-01	2009-10-01	2010-09-30		50.00%	52.00%
FY2010 Conferences/Outreach	DME	*	\$0.7	\$0.5	2009-10-01	2009-10-01	2010-09-30		62.00%	65.00%
FY2010 Operations & Maintenance	SS	*	\$1.4	\$1.2	2009-10-01	2009-10-01	2010-09-30		82.00%	84.00%
FY2011 Solution Development	DME	*	\$4.9		2010-10-01		2011-09-30		0.00%	0.00%
FY2011 Technical Management	DME	*	\$1.0		2010-10-01		2011-09-30		0.00%	0.00%

Table II.B.1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline:

Description of Activity	DME or SS	Agency EA Transition Plan Milestone Identifier	Planned Cost (\$M)	Actual Cost (\$M)	Planned Start Date	Actual Start Date	Planned Completion Date	Actual Completion Date	Planned Percent Complete	Actual Percent Complete
FY2011 Open Community Source	DME	*	\$0.7		2010-10-01		2011-09-30		0.00%	0.00%
FY2011 Conferences/Outreach	DME	*	\$0.7		2010-10-01		2011-09-30		0.00%	0.00%
FY2011 Operations & Maintenance	SS	*	\$1.4		2010-10-01		2011-09-30		0.00%	0.00%
FY2012 Solution Development	DME	*	*	*	2011-10-01	*	2012-09-30	*	*	*
FY2012 Technical Management	DME	*	*	*	2011-10-01	*	2012-09-30	*	*	*
FY2012 Open Community Source	DME	*	*	*	2011-10-01	*	2012-09-30	*	*	*
FY2012 Conferences/Outreach	DME	*	*	*	2011-10-01	*	2012-09-30	*	*	*
FY2012 Operations & Maintenance	SS	*	*	*	2011-10-01	*	2012-09-30	*	*	*
FY2013 Solution Development	DME	*	*	*	2012-10-01	*	2013-09-30	*	*	*
FY2013 Technical Management	DME	*	*	*	2012-10-01	*	2013-09-30	*	*	*
FY2013 Open Community Source	DME	*	*	*	2012-10-01	*	2013-09-30	*	*	*
FY2013 Conferences	DME	*	*	*	2012-10-01	*	2013-09-30	*	*	*
FY2013 Operations & Maintenance	DME	*	*	*	2012-10-01	*	2013-09-30	*	*	*

Table II.B.1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline:

Description of Activity	DME or SS	Agency EA Transition Plan Milestone Identifier	Planned Cost (\$M)	Actual Cost (\$M)	Planned Start Date	Actual Start Date	Planned Completion Date	Actual Completion Date	Planned Percent Complete	Actual Percent Complete
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2. If the investment cost, schedule, or performance variances are not within 10 percent of the current baseline, provide a complete analysis of the reasons for the variances, the corrective actions to be taken, and the most likely estimate at completion.

3. For mixed lifecycle or operations and maintenance investments an Operational Analysis must be performed annually. Operational analysis may identify the need to redesign or modify an asset by identifying previously undetected faults in design, construction, or installation/integration, highlighting whether actual operation and maintenance costs vary significantly from budgeted costs, or documenting that the asset is failing to meet program requirements. The details of the analysis must be available to OMB upon request. Insert the date of the most recent or planned operational analysis.

2011-07-01

4. Did the Operational analysis cover all 4 areas of analysis: Customer Results, Strategic and Business Results, Financial Performance, and Innovation?

yes

Section C: Financial Management Systems

Table II.C.1: Financial Management Systems			
System(s) Name	System acronym	Type of Financial System	BY Funding
*	*	*	*

Section D: Multi-Agency Collaboration Oversight (For Multi-Agency Collaborations only)

Table II.D.1. Customer Table:

Customer Agency	Joint exhibit approval date
007	2009-08-07
029	2009-08-07
016	2009-08-12
007	2010-08-18
029	2010-08-18
016	2010-08-18
009	
009	
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009	
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009	
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019	
024	
025	
011	
012	

Table II.D.1. Customer Table:

Customer Agency	Joint exhibit approval date
014	
021	
015	
020	
026	
422	
028	
184	

Table II.D.2. Shared Service Providers

Shared Service Provider (Agency)	Shared Service Asset Title	Shared Service Provider Exhibit 53 UPI (BY 2011)
*	*	*

Table II.D.3. For IT Investments, Partner Funding Strategies (\$millions):

Partner Agency	Partner exhibit 53 UPI (BY 2012)	CY Monetary Contribution	CY "In-Kind" Contribution	CY Fee-for-Service	BY Monetary Contribution	BY "In-Kind" Contribution	BY Fee-for-Service
007	021-12-01-11-01-1020-00	\$2.0			*	*	*
029	029-00-01-01-01-1040-00	\$2.0			*	*	*
016	016-00-01-02-01-2125-00	\$1.0			*	*	*
007	021-12-01-11-01-1020-00	\$2.6		\$0.0	*	*	*
029	029-00-01-01-01-1040-00	\$3.2		\$0.0	*	*	*
016	016-00-01-02-01-2125-00	\$0.5		\$0.0	*	*	*

Table II.D.4. Legacy Systems Being Replaced		
Name of the Legacy Investment of Systems	Current UPI	Date of the System Retirement
*	*	*

Section E: Performance Information

Table I.E.1a. Performance Metric Attributes

Processes and Activities	Security	CONNECT provides secure data delivery of EHRs	annual	% security incidents	Decrease	NA	2008-10-01
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* - Indicates data is redacted.